

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF VOCATIONAL REHABILITATION  
VOCATIONAL REHABILITATION SERVICES PROGRAM  
FIELD OFFICES**

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

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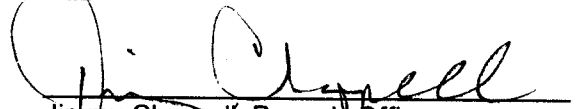
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

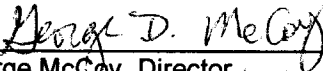
**APPROVAL RECOMMENDED**



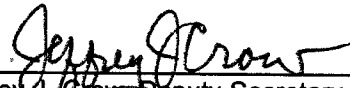
Anna Wasdell, Chief Records Officer  
Department of Health and Human Services



Jimmy Chappell, Records Officer  
Division of Vocational Rehabilitation



George McCoy, Director  
Division of Vocational Rehabilitation



Jeffrey J. Crow, Deputy Secretary  
Office of Archives and History

**APPROVED**



Carmen Hooker Odom, Secretary  
Department of Health and Human Services



Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 5, 2003

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**Item 46830. CLIENT CASE RECORD FILE.** Records in paper and electronic formats concerning client information. File includes clients' applications, financial forms, consent forms for release of confidential information to and from the Division of Vocational Rehabilitation, medical and psychological information, eligibility decision forms, clients' disabilities, individual Plan of Employment (IPE), progress reviews, case notes, correspondence, referral forms, evaluation reports, authorizations for services, paid invoices, progress reports, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

**Item 46831. COMMUNITY REHABILITATION PROGRAM FILE.** Records in paper and electronic formats concerning outcome-based community rehabilitation programs. File includes clients' names, Vocational Rehabilitation numbers and status, Community rehabilitation Program codes, clients' cost for work adjustment services, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding the confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action has been initiated before the end of the three-year period, the records shall be retained until all issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

**Item 46832. IN-TRAINING (IT) COUNSELOR FILE.** Records concerning liaison duties between the training facilities and counselors of record across the state. File includes authorizations for services from the home counselors. (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office after client terminates enrollment in school.

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**Item 46833. UNPAID AUTHORIZATIONS AND CASE SERVICE INVOICES FILE.** Records concerning authorizations for service documentation. File includes authorizations for services forms and invoices. (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Transfer records to the Client Case Record File (Item 46830) after invoices are paid.

**Item 46834. MASTER LIST OF COUNSELORS' CASELOAD FILE.** Records in paper and electronic formats concerning counselors' master list. File includes Vocational Rehabilitation numbers, clients' names, county codes, ages, and race of clients (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years.

**Item 46835. VOCATIONAL EVALUATORS' FILE.** Records in paper and electronic formats concerning evaluations of clients by vocational evaluators. File includes clients' names, addresses, telephone numbers, disabilities, reasons for referrals, types of evaluations requested, evaluators' reports, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

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**Item 46836. THIRD-PARTY AGREEMENTS FILE.** Records concerning responsibilities of the agency and the third party. File includes budget records which outline costs to implement program and program's share of the cost.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**Item 46837. OPEN AUTHORIZATIONS FILE.** Records in paper and electronic formats concerning authorizations for payments that have been initiated but have not been paid in full. File includes clients' names, vendors' names, Vocational Rehabilitation numbers, authorization numbers, case service codes, and budget codes. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable procedures of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

**Item 46847. VOUCHER REGISTER FILE.** Records in paper and electronic formats concerning listing of checks that were written from invoices submitted weekly to the Department of Health and Human Services, Office of the Controller. (File maintenance and backup procedures conducted by the LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records after 5 weeks. Destroy in office paper records after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

